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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

August 17, 2001

WRITER'S DIRECT NUMBER:
(202) 218-7834

INTERNET ADDRESS:
BHAANES@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box Missing Parts

Re: U.S. Utility Patent Application
Appl. No. 09/839,574; Filed: April 23, 2001
For: **Compositions and Methods for *in vivo* Delivery of
Polynucleotide-Based Therapeutics**
Inventors: Manthorpe *et al.*
Our Ref: 1530.0180002/EKS/EJH

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated June 18, 2001, Applicant(s) submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal Form PTO/SB/17;
2. Authorization To Treat A Reply As Incorporating An Extension Of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
3. Copy of the Notice to File Missing Parts;
4. Original Declaration, executed by the inventors;
5. An original executed Power of Attorney from Assignee;

Commissioner for Patents

August 17, 2001

Page 2

6. Assignee 37 C.F.R. § 3.73(b) Statement with copy of Assignment attached (*not for recordation*);
7. Letter to PTO Draftsman: Submission of Formal Drawings (Figs. 1, 2A, 2B, 2C-2D, 3, 4A-4C, 5A-5C, 6A-6F, 7A-7B, 8, 9A-9B, 10, 11, 12, 13, 14, 15, 16A-16B, 16C, 16D, 17A-17B, 18, 19A, 19B, 20A, 20B, 21, 22, 23, 24, 25, and 26);
8. Return postcard; and
9. Our Check No. **31963** for **\$1,827.00** to cover:
\$ 355.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)
\$ 1,407.00 Fee for excess claims (37 C.F.R. § 1.16)
\$ 65.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16)

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



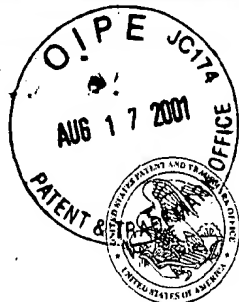
Elizabeth J. Haanes, Ph.D.

Agent for Applicants

Registration No. 42,613

EJH/pcd

Encls.



#3

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/839,574	04/23/2001	Marston Manthorpe	1530.0180002

CONFIRMATION NO. 1437

26111

STERNE, KESSLER, GOLDSTEIN & FOX PLLC
1100 NEW YORK AVENUE, N.W., SUITE 600
WASHINGTON, DC 20005-3934

FORMALITIES LETTER



OC000000006192996

Date Mailed: 06/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/20/2001 HADDI1 00000049 09839574

FILED UNDER 37 CFR 1.53(b)

02/20/2001 355.00 OP
02/20/2003 1287.00 OP
02/20/2003 65.00 OP
02/20/2002 120.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1447.
 - \$1287 for 143 total claims over 20.
 - \$160 for 4 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1867.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

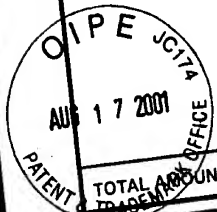
pa

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FOI 2014-05660



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete If Known

Application Number	09/839,574
Filing Date	April 23, 2001
First Named Inventor	Marston Manthorpe
Examiner Name	To be assigned
Group Art Unit	1646
Attorney Docket No.	1530.0180002/EKS/EJH

TOTAL AMOUNT OF PAYMENT (\$)**1,827.00**

FEE CALCULATION (continued)

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 19-0036
Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☒ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed.
☒ Check ☐ Credit card ☐ Money Order ☒ Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					355.00

2. EXTRA CLAIM FEES

Extra	Fee from below	Fee Paid
Total Claims 163 - 20** = 143	X 9	= 1,287.00
Indep. Claims 6 - 3** = 3	X 40	= 120.00

Multiple Dependent

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	208	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**1,407.00**

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**65.00**

Complete (if applicable)

SUBMITTED BY

Name (Print/Type)

Elizabeth J. Haanes, Ph.D.

Signature

Elizabeth J. Haanes

Registration No. (Attorney/Agent)

42,613

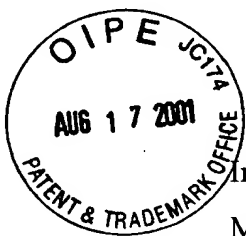
Telephone

202-371-2600

Date

August 17, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to take 0.2 hours to complete. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: PTO/STANDARDIZATION, P.O. Box 1418, Alexandria, VA 22304-4418. (USPS)BHAANES1530018-2/formal-docs.feetml



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Manthorpe *et al.*

Appl. No. 09/839,574

Filed: April 23, 2001

For: **Compositions and Methods for *in vivo* Delivery of Polynucleotide-Based Therapeutics**

Confirmation No. 1437

Art Unit: 1646

Examiner: To be assigned

Atty. Docket: 1530.0180002/EKS/EJH

Batch No. N/A

Letter to PTO Draftsman: Submission of Formal Drawings

Commissioner for Patents
Washington, D.C. 20231

Sir:

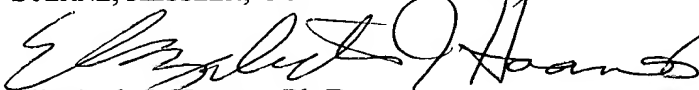
Submitted herewith are twenty-nine (32) sheets of formal drawings with Figures 1, 2A, 2B, 2C-2D, 3, 4A-4C, 5A-5C, 6A-6F, 7A-7B, 8, 9A-9B, 10, 11, 12, 13, 14, 15, 16A-16B, 16C, 16D, 17A-17B, 18, 19A, 19B, 20A, 20B, 21, 22, 23, 24, 25, and 26, corresponding to the informal drawings submitted with the above-captioned application. Identification of the drawings is provided in accordance with 37 C.F.R. § 1.84(c). Acknowledgment of the receipt, approval, and entry of these formal drawings into this application is respectfully requested.

In Reply to the requirements under 37 C.F.R. § 1.84(b)(1) for a petition and/or fee for Acceptance of Black and White Photographs, Applicants request that the requirement be withdrawn. 1213 OG 108.

It is not believed that an extension of time is required, other than any already provided herewith. However, if an extension of time is needed to prevent abandonment of the application, then such extension of time is hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this Letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX, P.L.L.C.


Elizabeth J. Haanes, Ph.D.

Agent for Applicants

Registration No. 42,613

Date: August 17, 2001
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